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U.S. PATENT APPLICATION  
FOR  
SYSTEM, METHOD AND COMPUTER PROGRAM  
PRODUCT FOR IMPROVED EFFICIENCY IN  
NETWORK ASSESSMENT UTILIZING A PORT  
STATUS PRE-QUALIFICATION PROCEDURE

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# SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR IMPROVED EFFICIENCY IN NETWORK ASSESSMENT UTILIZING A PORT STATUS PRE-QUALIFICATION PROCEDURE

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## FIELD OF THE INVENTION

The present invention relates to risk-assessment scanning methods, and more particularly to risk-assessment scanning with improved efficiency.

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## BACKGROUND OF THE INVENTION

Network security management is becoming a more difficult problem as networks grow in size and become a more integral part of organizational operations. Attacks on networks are growing both due to the intellectual challenge such attacks represent for hackers and due to the increasing payoff for the serious attacker. Furthermore, the attacks are growing beyond the current capability of security management tools to identify and quickly respond to those attacks. As various attack methods are tried and ultimately repulsed, the attackers will attempt new approaches with more subtle attack features. Thus, maintaining network security is on-going, ever changing, and an increasingly complex problem.

Computer network attacks can take many forms and any one attack may include many security events of different types. Security events are anomalous network conditions each of which may cause an anti-security effect to a computer network. Security events include stealing confidential or private information; producing network damage through mechanisms such as viruses, worms, or Trojan horses; overwhelming the network's capability in order to cause denial of service, and so forth.

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number of ports and the redundancy of their use, such process may be quite time consuming. This, in turn, results in high latencies during the scan.

Further latency may be incurred if the security risk-assessment scan is  
5 executed on a port that is unavailable or inactive. Typically, security risk-  
assessment tools delay a predetermined amount of time, i.e. a timeout, before  
abandoning a scan on an unavailable or inactive port. Across numerous target  
systems with numerous unavailable or inactive ports, this delay can be compounded  
to a significant sum.

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There is thus a need for reducing such latencies in risk-assessment scanning,  
and particularly achieving such goal by addressing the inefficiencies incurred when  
establishing port connections and initiating scans on unavailable or inactive ports.

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### DISCLOSURE OF THE INVENTION

5 A system, method and computer program product are provided for  
minimizing the duration of a risk-assessment scan. Initially, a plurality of risk-  
assessment modules are selected each including vulnerability checks associated with  
a risk-assessment scan. Thereafter, a first set of ports is determined. Such first set  
of ports is required for communicating with network components subject to the risk-  
assessment modules associated with the risk-assessment scan. A port scan is  
subsequently executed on the first set of ports. Based on such port scan, a second set  
10 of ports is determined which includes ports unavailable for communicating with the  
network components subject to the risk-assessment modules associated with the risk-  
assessment scan. The risk-assessment modules associated with the second set of  
ports may then be disabled to minimize the duration of the risk-assessment scan.

15 In one embodiment, a plurality of the risk-assessment modules each may  
have the same port associated therewith. Such redundancy in the first set of ports  
may be removed prior to executing the port scan to further minimize the duration of  
the risk-assessment scan. As an option, the risk-assessment modules may be user-  
specified.

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In another aspect, a system, method and computer program product are  
provided for minimizing the duration of the risk-assessment scan. Initially, the risk-  
assessment modules may be selected for execution during the risk-assessment scan.  
As set forth earlier, the risk-assessment modules each include vulnerability checks.  
25 Next, a set of ports is identified for communicating with network components.  
Thereafter, a port scan of the set of ports is executed. Based on such port scan, the  
set of ports is modified. In particular, the set of ports is modified to include only  
ports available for communicating with the network components subject to the risk-  
assessment modules associated with the risk-assessment scan. At such time, the port  
30 associated with each selected risk-assessment module may be compared with the

modified set of ports. Based on the comparison, the execution of the risk-assessment modules may be conditionally disabled to minimize the duration of the risk-assessment scan.

### **BRIEF DESCRIPTION OF THE DRAWINGS**

Figure 1 illustrates an exemplary network environment in which the present  
5 embodiment may be implemented.

Figure 2 shows a representative hardware environment associated with the  
components of Figure 1, in accordance with one embodiment.

10 Figure 3 illustrates a method for minimizing the duration of a risk-  
assessment scan adapted for detecting vulnerabilities utilizing various risk-  
assessment modules.

Figure 4 illustrates numerous risk-assessment modules each specially adapted  
15 to detect a certain type of vulnerability.

Figure 5 illustrates a more comprehensive method for minimizing the  
duration of the risk-assessment scan.

20 Figure 6 illustrates a method for initiating the risk-assessment scan of Figure  
5.

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### DESCRIPTION OF THE PREFERRED EMBODIMENTS

Figure 1 illustrates an exemplary network environment **100** in which the present embodiment may be implemented. As shown, such network environment **100** includes a network **102** that may take any form including, but not limited to a local area network (LAN), a wide area network (WAN) such as the Internet, etc.

Coupled to the network **102** is a plurality of components **110** which may take the form of desktop computers, lap-top computers, hand-held computers, printers or any other type of computing hardware/software. In the context of the present invention, a plurality of target components **114** are provided which are coupled to at least one scanning computer **112** via the network **102**. As shown in Figure 1, each of the target components **114** and various sub-components thereof may be accessed via different ports, i.e. 10, 125, 10345, etc.

Figure 2 shows a representative hardware environment associated with the components **110** of Figure 1, in accordance with one embodiment. Such figure illustrates a typical hardware configuration of a workstation in accordance with a preferred embodiment having a central processing unit **210**, such as a microprocessor, and a number of other units interconnected via a system bus **212**.

The workstation shown in Figure 2 includes a Random Access Memory (RAM) **214**, Read Only Memory (ROM) **216**, an I/O adapter **218** for connecting peripheral devices such as disk storage units **220** to the bus **212**, a user interface adapter **222** for connecting a keyboard **224**, a mouse **226**, a speaker **228**, a microphone **232**, and/or other user interface devices such as a touch screen (not shown) to the bus **212**, communication adapter **234** for connecting the workstation to a communication network **235** (e.g., a data processing network) and a display adapter **236** for connecting the bus **212** to a display device **238**.

The workstation may have resident thereon an operating system such as the Microsoft Windows NT or Windows/95 Operating System (OS), the IBM OS/2 operating system, the MAC OS, or UNIX operating system. It will be appreciated that a preferred embodiment may also be implemented on platforms and operating systems other than those mentioned. A preferred embodiment may be written using JAVA, C, and/or C++ language, or other programming languages, along with an object oriented programming methodology. Object oriented programming (OOP) has become increasingly used to develop complex applications.

Figure 3 illustrates a method 300 for minimizing the duration of a risk-assessment scan adapted for detecting vulnerabilities utilizing various risk-assessment modules. In the context of the present description, these risk-assessment modules refer to different functions that work in conjunction to perform a risk-assessment scan. Examples of risk-assessment modules will be set forth in greater detail during reference to Figure 4. Moreover, the aforementioned vulnerabilities may include any aspect of the target computer 114 that would make it susceptible to an attack or intrusion by a hacker.

Initially, in operation 302, a plurality of risk-assessment modules are identified each including vulnerability checks associated with a security risk-assessment scan. In one embodiment, a manually-selected set of modules may be employed. Thereafter, in operation 304, a first set of ports is determined. Such first set of ports includes those required for communicating with network components 110 subject to the risk-assessment modules associated with the risk-assessment scan.

A port scan is subsequently executed on the first set of ports in operation 306. As is well known, a port scan includes a series of messages sent to a computer to identify which computer network services, each associated with a port number 412, the computer provides. In use, the port scan includes sending a message to each

port, one at a time. The kind of response received indicates whether the port is available or not.

By limiting the port scan to only those associated with the selected, pertinent risk-assessment modules, a port scan of all 65,536 ports avoided. This, in turn, reduces the overall latency associated with the risk-assessment scan.

Based on such port scan, a second set of ports is determined in operation **308**. The second set of ports includes those which are unavailable for communicating with the network components **110** subject to the risk-assessment modules associated with the risk-assessment scan. As an option, a port may be added to the second set of ports (those that are unavailable) if a connection to the port times out. By being added to the second set of ports, such ports may also be removed from the “global list” of ports that is used when selecting the first set of ports during another scan.

By this design, the risk-assessment modules associated with the second set of ports may then be disabled to minimize the duration of the risk-assessment scan. Note operation **310**. In the present description, a risk-assessment module may be disabled by any mechanism that precludes such module from increasing the latency of the system.

As is well known, such risk-assessment modules often require the cessation of a predetermined timeout before rendering the scan a failed attempt. By disabling risk-assessment modules which would otherwise be executed on an unavailable or inactive port, the overall latency associated with the risk-assessment scan is reduced by avoiding the foregoing timeout scenario.

Figure 4 illustrates numerous risk-assessment modules **400** each specially adapted to detect a certain type of vulnerability. For example, a first risk-assessment module **402** may be provided to deal with “Trojan” programs, and a second risk-assessment module **404** may be provided to seek out e-mail vulnerabilities. Still yet,

first, second and third web server risk-assessment modules **406**, **408** and **410** may be provided to deal with web server vulnerabilities using various methods.

As shown in Figure **4**, each of the risk-assessment modules **400** has a port **412** associated therewith. In one embodiment, the risk-assessment modules **400** may have a port number identifier stored therewith. As mentioned earlier, such information may be used to determine the first set of ports in accordance with operation **304** of Figure **3**.

It should be noted that many of the risk-assessment modules **400** each may have the same port **412** associated therewith. Such redundancy in the first set of ports may be removed prior to executing the port scan to still further minimize the duration of the risk-assessment scan.

Figure **5** illustrates a more comprehensive method **500** for minimizing the duration of the risk-assessment scan. Initially, in operation **502**, the scan is initiated. During such operation, a set of ports to be scanned is identified.

In one embodiment, such set of ports may include all 65,536 ports to provide a thorough scan. As an option, such set of ports may include only those that are required for communicating with network components **110** subject to the risk-assessment modules **400** associated with the risk-assessment scan. Such option may reduce latencies associated with the risk-assessment scan. More information regarding operation **502** will be set forth in greater detail during reference to Figure

**6**.

In still another embodiment, the detection of vulnerabilities on unknown or unauthorized may be accomplished by designating certain unconventional ports in the set of ports to be scanned. By allowing a user to specify a range of ports to scan, unidentified high ports may be targeted by risk-assessment modules **400** that identify backdoors, Trojans or DDoS agents that had been recompiled to run on ports other

than their default "known" port. Service identification on these high ports could also be employed to identify unauthorized remote services that had been installed on high ports to conceal their presence. Of course, scan latencies will increase as a function of the number of ports selected.

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A port scan of the set of ports is then executed in operation **504** in a manner similar to operation **306** of Figure 3. As mentioned earlier, by limiting the port scan to only those associated with the selected risk-assessment modules **400**, the overall latency of the risk-assessment scan is reduced.

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In the case where multiple target components **114** are being scanned, the port scan may optionally be used to identify which target components **114** may be skipped during the risk-assessment scan. Specifically, target components **114** may be removed from the risk-assessment scan if port(s) thereof do not respond during the port scan.

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As a result of the port scan, a second set of ports is identified which include ports that are either unavailable or inactive. As such, the original set of ports may be modified to include only ports available for communicating with the network components **110** subject to the risk-assessment modules **400** of the risk-assessment scan. The results of the port scan may thus be stored in the form of the modified list in operation **506**. As an option, the modified set may be referred to as a third set of ports which includes the first original set of ports and excludes the second set of unavailable or inactive ports.

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Next, in operation **508**, the risk-assessment modules **400** may be selected from those available for execution during the risk-assessment scan. At such time, the port associated with each selected risk-assessment module **400** (as determined by the data structure of Figure 4) may be compared with the modified set of ports in decision **510**.

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Based on the comparison in decision **510**, the execution of the risk-assessment modules **400** may be conditionally disabled to minimize the duration of the risk-assessment scan. In particular, the vulnerability checks of the risk-assessment module **400** may be executed if the port associated with the risk-assessment module **400** matches at least one port of the modified third set of ports. Note operation **512**.

If, on the other hand, the port associated with the risk-assessment module **400** does not match at least one port of the modified third set of ports, the risk-assessment module **400** may be disabled. By disabling risk-assessment modules **400** which would otherwise be executed on an unavailable or inactive port, the overall latency associated with the risk-assessment scan is reduced.

Once completed, the method **500** determines if any additional risk-assessment modules **400** must be executed in decision **514**. If so, the process is continued by identifying another one of the risk-assessment modules **400** in operation **508**, etc.

When executing risk-assessment modules **400** that perform denial of service checks, service is sometimes disabled when a vulnerability is detected by crashing the service. In such case, the particular port involved may be removed from the “global list” of ports that is used when selecting the first set of ports during another scan.

Similarly, when executing risk-assessment modules **400** that scan for Trojans, denial of service, and back door-type vulnerabilities on a port with a high port number; such high port may be removed from the “global list” list upon any of such vulnerabilities being found. This may prevent other similar types of modules from accessing such port.

Figure 6 illustrates a method **600** for initiating a risk-assessment scan in accordance with operation **502** of Figure 5. As shown, a host range is first identified in operation **602**. Such host range includes an identification of all target components **114** to be included in the risk-assessment scan. In one embodiment, a manually-  
5 selected set of target components **114** may be scanned. As such, every target component **114** is subjected to operations **504-514** of Figure 5 during use.

Thereafter, in operation **604**, risk-assessment modules **400** to be included in the risk-assessment scan are selected. Operation **604** may be accomplished manually  
10 or automatically. Utilizing the data structure of Figure 4, the ports associated with the risk-assessment modules **400** are identified in preparation for the port scan of operation **504** of Figure 5. See operation **606**. Preferably, such set of ports is stored in operation **608**.

15 As each scan begins, the risk-assessment tool evaluates and lists the ports required for communication by each of the different risk-assessment modules **400** that are to be performed. This enables a plurality of latency-reducing techniques:

By removing redundancy from this list, the risk-assessment tool may  
20 minimize repeated connections to the target components **114**, and hence minimize the total time required to complete a risk-assessment scan. For example, twenty (20) unique vulnerabilities against web servers, each existing by virtue of separate software flaws, may all require a connection to a remote target component **114** on TCP port 80. In such example, port 80 would only have to be scanned once. It  
25 should be noted that User Datagram Protocol (UDP) ports may be specified as well as TCP ports.

Further, by determining the ports required for all selected risk-assessment modules **400**, the risk-assessment tool is able to eliminate the need to run an  
30 exhaustive port scan (i.e. an audit of open, or "listening" ports).

Still yet, by determining which of those required ports are inactive during the scan, the risk-assessment tool is then able to subsequently disqualify all risk-assessment modules **400** which require such inactive ports.

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While various embodiments have been described above, it should be understood that they have been presented by way of example only, and not limitation. Thus, the breadth and scope of a preferred embodiment should not be limited by any of the above-described exemplary embodiments, but should be defined only in accordance with the following claims and their equivalents.

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